

# FISH & RICHARDSON P.C.

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September 25, 2001

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Attorney Docket No.: 06618-201002

**Box Patent Application**  
Commissioner for Patents  
Washington, DC 20231

Presented for filing is a new divisional patent application of:

Applicant: YU WANG

Title: DEVICES BASED ON SURFACE PLASMON INTERFERENCE FILTERS

Enclosed are the following papers, including those required to receive a filing date under 37 CFR §1.53(b):

FR  
BOSTON  
DALLAS  
DELAWARE  
NEW YORK  
SAN DIEGO  
SILICON VALLEY  
TWIN CITIES  
WASHINGTON, DC

	<u>Pages</u>
Specification	48
Claims	8
Abstract	1
Declaration	2
Drawing(s)	17

Enclosures:

- Information Disclosure Statement: Applicants call attention to documents listed on attached form PTO-892, 1 page, listing documents cited in the parent application(s). Per 37 CFR 1.98(d), copies of those documents are not provided. Please confirm that these have been considered in this application by returning a copy of the Form PTO-1449 with the examiner's initials.

## CERTIFICATE OF MAILING BY EXPRESS MAIL

Express Mail Label No. EL 716812301 US

I hereby certify under 37 CFR §1.10 that this correspondence is being deposited with the United States Postal Service as Express Mail Post Office to Addressee with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

September 25, 2001  
Date of Deposit

Signature

Michael Hubbard  
Typed or Printed Name of Person Signing Certificate

FISH & RICHARDSON P.C.

Commissioner for Patents  
September 25, 2001  
Page 2

- Rule 63 declaration, copy from a previous application under rule 63(d) for continuation or divisional only.
- Postcard.

The prior application is assigned of record to California Institute of Technology by virtue of an assignment submitted to the Patent and Trademark Office and recorded on November 4, 1998 at 9595/0516.

This application is a divisional (and claims the benefit of priority under 35 USC 120) of U.S. patent application serial no. 09/144,519 filed August 31, 1998 which is a continuation-in-part of U.S. patent application serial no. 08/949,151, filed October 10, 1997, now U.S. Patent No. 5,986,808, which claims the benefit of U.S. provisional application serial nos. 60/056,050, filed September 2, 1997; 60/059,247, filed September 18, 1997; and 60/060,733, filed October 1, 1997.

This application is entitled to small entity status, established in a prior application.

This application presents 16 claims, 4 of which are independent.

Basic filing fee	\$355
Total claims in excess of 20 times \$9	\$0
Independent claims in excess of 3 times \$40	\$40
Fee for multiple dependent claims	\$0
Total filing fee:	\$395

A check for the filing fee is enclosed. Please apply any other required fees or any credits to deposit account 06-1050, referencing the attorney docket number shown above.

If this application is found to be incomplete, or if a telephone conference would otherwise be helpful, please call the undersigned at (858) 678-5070.

Kindly acknowledge receipt of this application by returning the enclosed postcard.

FISH & RICHARDSON P.C.

Commissioner for Patents

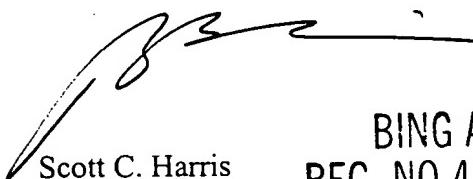
September 25, 2001

Page 3

Please send all correspondence to:

SCOTT C. HARRIS  
Fish & Richardson P.C.  
4350 La Jolla Village Drive, Suite 500  
San Diego, California 92122

Respectfully submitted,



Scott C. Harris                    BING AI  
Reg. No. 32,030                REG. NO 43,312  
Enclosures  
SCH/jkh  
10136072.doc

PATENT  
ATTORNEY DOCKET NO.: 06618 201062

The Patent and Trademark Office date stamp sets forth the receipt date (or both the receipt date and the Serial Number) of a patent application identified as follows:

Applicant: Yu Wang

Title: Device Based on Surface Plasmon Interference Filter

Transmittal Letter

Appln 48 Pages of Spec. 8 Pages of Claims 16 Total Claims 1 Pages of Abstract

Rule 62 Filing Request (FWC) \_\_\_\_\_ Pages

Assignment

Deposit Account Order Form (2 Copies)

Check \$ 395 -

Small Entity Statement

Drawings 17 Sheets Formal \_\_\_\_\_ Sheets Informal

Combined Declaration and Power of attorney  signed \_\_\_\_\_ unsigned (copy)

Preliminary Amendment- \_\_\_\_\_ Pages

Information Disclosure Statement

PTO 1449 Form- 0 Pages PTO 892 1p.

Prior Art References-Number of References \_\_\_\_\_

Priority Document- \_\_\_\_\_ Pages

English Translation

Other \_\_\_\_\_

Jc714 U.S. PTO  
**09/965033**



09/25/01

Atty/Sec SCH Client/  
Initials \_\_\_\_\_ Matter Name EL 716812301 US Date 9/25/01

R E C E I V E D

OCT 10 2001

FISH & RICHARDSON P.C.  
LA JOLLA, CA

PATENT  
ATTORNEY DOCKET NO. 06618 201062

The Patent and Trademark Office date stamp sets forth the receipt date (or both the receipt date and the send date) of a patent application identified as follows:

Applicant:  
Yi Wang  
Name  
Fleet  
Business Name  
E11122

- Transmittal Letter  
 Artin 48 Pages of Spec. 2 Pages of Claims 16 Total Claims 1 Pages of Abstract  
 Rule 62 Filing Request (FWC) \_\_\_\_\_  
 Assignment \_\_\_\_\_  
 Deposit Account Order Form (2 Copies)  
 Check # 195 \_\_\_\_\_  
 Small Entity Statement \_\_\_\_\_  
 Drawings 2 Sheets Found \_\_\_\_\_ Sheets Informal \_\_\_\_\_ signed \_\_\_\_\_ unsigned (copy)  
 Continued Declaration and Power of Attorney \_\_\_\_\_  
 Preliminary Answer/Claim \_\_\_\_\_  
 Information Disclosure Statement 1 PTO 140 Form 170 892 1P.  
 Prior Art References Number of References 1  
 Priority Document \_\_\_\_\_  
 English Translation \_\_\_\_\_  
 Other \_\_\_\_\_

Att'y/Secy SCH Client/  
Inventor EL 716812 301 US Matter Name Date 9/25/01

**FR** Fish & RICHARDSON P.C.

225 Franklin Street  
Boston, Massachusetts  
02110-2804

PAY Three hundred ninety five dollars and 00/100 DOLLARS

TO THE ORDER OF	DATE	AMOUNT
<b>COMMISSIONER OF PATENTS AND TRADEMARKS</b>	<u>9/25/01</u>	<u>395.00.</u>

FISH & RICHARDSON P.C.

52-153112  
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SOUTH PORTLAND, ME

06618-201002 jkh

*D. J. H.*

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